



093003

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Ying W. Hsu  
 Title : LOW LOSS OPTICAL SWITCHING SYSTEM  
 Docket No. : 703427.4002  
 Customer No. : 34313

Mail Stop Patent Application  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

19270 U.S. PTO  
 10/676628  
  
 093003

## UTILITY PATENT APPLICATION TRANSMITTAL

1. Type of Application  
 This new application is for a(n)  
☒ Original (non provisional)  
☐ Design  
☐ Plant
2. ☒ Applicant claims small entity status. See 37 CFR 1.27
3. ☐ Specification, including Description, Claims and Abstract (Total Page: 34 )
4. ☐ Drawing(s) (35 USC 113) (Total sheets 14 )
5. Oath or Declaration
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
    - i. ☐ Deletion of Inventors (Signed statement attached deleting inventors(s) named in the prior application.) See 37 CFR 1.63(d)(2) and 133 (b).
6. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

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 CERTIFICATE OF MAILING  
 37 CFR §1.10

Date: September 30, 2003  
 Express Mailing Label No.: EV 342472534 US

I hereby certify that on the dated listed above, this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service in accordance with 37 C.F.R. § 1.10 as "Express Mail Post Office to Addressee," with sufficient postage in an envelope addressed to: Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Micheal A. Smith

Applicant : Ying W. Hsu  
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7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if application, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ Paper  
c. ☐ Statement verifying identity of above copies
8. ☒ An assignment of the invention to Newport Opticom, Inc.  
☒ is attached. A separate ☐ "COVERSHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO 1595 is also attached.  
☐ will follow.
9. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) (Power of Attorney by Assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO 1449 (or PTO/SB/08a)  
☐ Copies of citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Non-publication Request under 35 USC 122 (b)(2)(B)(i) (Applicant must attach form PTO/SB/35 or its equivalent)
16. ☐ Other

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no. **10/052,829**, filed October 19, 2001.

Prior application information:

Examiner: Therese Barber Group Art Unit: 2882

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

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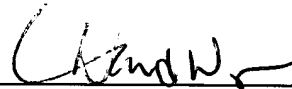
18. Fee Calculation: TOTAL AMOUNT OF PAYMENT: \$375.00
- A. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to Deposit Account No. 15-0665.
- ☒ Charge any additional fee required under 37 CFR 1.16 and 1.17 to Deposit Account No. 15-0665.
- B. ☐ Payment Enclosed
- ☐ Check ☐ Credit Card ☐ Money Order ☐ Other

<b>BASIC FILING FEE:</b>						<b>\$750.00</b>
Total Claims	17	-	20	=	0	x \$18.00
Independent Claims	2	-	3	=	0	x \$84.00
Multiple Dependent Claims	\$280	(if applicable)	<input type="checkbox"/>			\$ 0.00
<b>TOTAL OF ABOVE CALCULATIONS</b>						<b>750.00</b>
Reduction by 1/2 for Filing by Small Entity. Note 37 CFR §§ 1.9, 1.27, 1.28.						
<input checked="" type="checkbox"/>						375.00
Assignment -- \$40 (if applicable)	<input type="checkbox"/>					\$0.00
<b>TOTAL FEES SUBMITTED</b>						<b>375.00</b>

- C. ☐ This application is being filed without fee or Declaration under 37 CFR §1.53.

20. Correspondence Address
- ☒ Customer Number. 34313

Respectfully submitted,



David E. Wang  
Registration No. 38,358

Dated: September 30, 2003

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